



Receipt #3

PATENT

Attorney Docket No.: A-69332-1/RMS/JJD

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SWIFT, et al.

Serial No. 09/847,960

Filed: May 2, 2001

For: RNase PROBE PROTECTION  
ASSAYS IN SCREENING FOR  
MODULATORS OF  
IMMUNOGLOBULIN GERMLINE  
TRANSCRIPTION

Examiner: Unknown

Group Art Unit: 1645

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including listed enclosures, is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, BOX MISSING PARTS, Washington, DC 20231 on:

Dated: August 24, 2001

Signed:   
Monica E. Carlos

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, DC 20231

Sir:

Applicants hereby request a Corrected Filing Receipt as follows:

Please delete the Attorney Docket Number information and replace with

--A-69332-1/RMS/JJD--.

In the Applicant(s), after "Susan E. Swift," please delete "Residence Not Provided," and insert --San Francisco, CA;-- and also add --Jakob M. Bogenberger, San Francisco, CA--.

Applicants enclose a copy of the Official Filing Receipt with the change indicated in red.

Because this error was caused, at least in part, by the Patent Office, it is believed that no fee is necessary. However, if this belief is in error, the Assistant Commissioner

**Serial No.:** 09/847,960

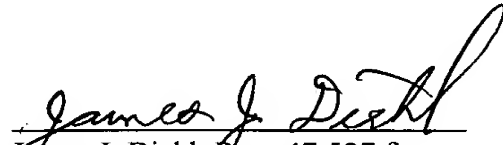
**Filed:** May 2, 2001

is authorized to charge any fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 06-1300 (Our File A-69332-1/RMS/JJD).

Respectfully submitted,

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

Dated: August 24, 2001

  
James J. Diehl, Reg. 47,527 for  
Robin M. Silva, Reg. 38,304

Four Embarcadero Center  
Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (415) 781-1989



PATENT

Attorney Docket No.: A-69332-1/RMS/JJD

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Dated: August 24, 2001

Signed: Monica E. Carlos  
Monica E. Carlos

RESPONSE TO NOTICE TO FILE MISSING PARTS

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, DC 20231

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application mailed July 13, 2001, enclosed are the following documents:

- a) Copy of the Notice to File Missing Parts of Nonprovisional Application;
- b) Declaration for Patent application;
- c) Power of Attorney by Assignee;
- d) Check in the amount of \$474 (\$355 filing fee, \$54 additional claims over twenty, and \$65 surcharge);
- e) Preliminary Amendment Re: Sequence Listing;
- f) Sequence Listing paper copy;
- g) Sequence Listing disk in computer readable form;
- h) Request for Corrected Filing Receipt;

**Serial No.:** 09/847,960

**Filed:** May 2, 2001

- i) Copy of Official Filing Receipt with corrections made in red; and
- j) Return postcard.

Applicants claim small entity status, per 37 CFR 1.27.

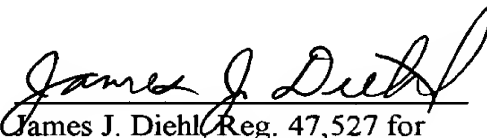
Applicants have submitted a Request and Certification Under 35 U.S.C. 122(b)(2)(i) upon filing. The drawings have been submitted as "informal", but Applicants believe they are sufficient for proper examination of the application. In light of the Request and Certification filed under 35 U.S.C. 122(b)(2)(i), Applicants believe that drawings conforming to the requirements of 37 C.F.R. 1.84 will not be due until the due date for payment of the Issue Fee, after allowance. Applicants hereby request confirmation of this.

While Applicants believe that no fees are due at this time other than those listed on the preceding page, the Assistant Commissioner is authorized to charge any additional fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 06-1300 (Our File A-69332-1/RMS/JJD).

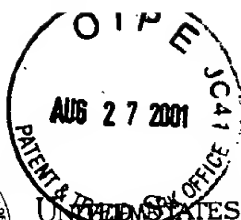
Respectfully submitted,

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP

Dated: August 24, 2001

  
James J. Diehl, Reg. 47,527 for  
Robin M. Silva, Reg. 38,304

Four Embarcadero Center  
Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (415) 781-1989



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/847,960	05/02/2001	Susan E. Swift	A-69332-1/RMS/DHR

CONFIRMATION NO. 6153

## FORMALITIES LETTER



\*OC000000006292625\*

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP  
Suite 3400  
Four Embarcadero Center  
San Francisco, CA 94111-4187

06/29/2001 SSESHE1 00000001 09847960

01 FC:201 355.00 OP  
02 FC:203 54.00 OP  
03 FC:205 65.00 OP

Date Mailed: 07/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$108.
  - \$108 for 6 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 948.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention

is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)**

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***A copy of this notice MUST be returned with the reply.***

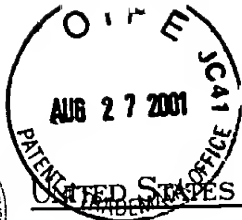
*RA*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

RECEIVED  
JUN 12 2000  
JUN 12 2000  
JUN 12 2000



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/847,960	05/02/2001	1645	0.00	A-69332-2 4/RMS/DHR	13	26	3

A-69332-1/RMS/JJD

CONFIRMATION NO. 6153

## FILING RECEIPT



\*OC000000006292624\*

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP  
Suite 3400  
Four Embarcadero Center  
San Francisco, CA 94111-4187

Date Mailed: 07/13/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Susan E. Swift, ~~Residence Not Provided~~, *San Francisco, CA*  
*Jakob M. Bogenberger, San Francisco, CA*

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/201,333 05/02/2000

## Foreign Applications

If Required, Foreign Filing License Granted 07/12/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

RNAse probe protection assays in screening for modulators of immunoglobulin germline transcription

## Preliminary Class

**Date:** 07/13/2001

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**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, Unit d States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
 Office of Initial Patent Examination  
 Customer Service Center  
 Washington, DC 20231